

Exhibit 300: Capital Asset Plan and Business Case Summary

Part I: Summary Information And Justification (All Capital Assets)

Section A: Overview (All Capital Assets)

1. **Date of Submission:** 2010-03-17 12:37:19
2. **Agency:** 024
3. **Bureau:** 40
4. **Name of this Investment:** USSS - Enterprise Financial Management System (TOPS) (2011)
5. **Unique Project (Investment) Identifier:** 024-40-01-01-01-4010-00
6. **What kind of investment will this be in FY 2011?:** Operations and Maintenance
 - Planning
 - Full Acquisition
 - Operations and Maintenance
 - Mixed Life Cycle
 - Multi-Agency Collaboration
7. **What was the first budget year this investment was submitted to OMB? ***
8. **Provide a brief summary and justification for this investment, including a brief description of how this closes in part or in whole an identified agency performance gap; this description may include links to relevant information which should include relevant GAO reports, and links to relevant findings of independent audits.**

The Enterprise Financial Management System (TOPS) is in steady state operation. This system supports the President's Management Agenda by improving financial management. TOPS is a comprehensive, integrated financial system that is required to meet critical operational and reporting requirements of the USSS and DHS. TOPS is the cornerstone of integrating budget management, project management, procurement, inventory management, accounting and financial reporting systems using web based technologies. Single point of entry, paperless workflows and improved financial reporting have replaced the legacy processes and resulted in operational efficiencies. TOPS has been designated a center of excellence within DHS and supports the closing of a DHS gap for improving financial performance. Based upon the DHS designation and an operational analysis, the system is meeting or exceeding expectations and is an appropriate solution for the USSS and DHS.

 - a. **Provide here the date of any approved rebaselining within the past year, the date for the most recent (or planned) alternatives analysis for this investment, and whether this investment has a risk management plan and risk register.**
9. **Did the Agency's Executive/Investment Committee approve this request? ***
 - a. **If "yes," what was the date of this approval? ***
10. **Contact information of Program/Project Manager?**
 - **Name:** *
 - **Phone Number:** *
 - **Email:** *
11. **What project management qualifications does the Project Manager have? (per FAC-P/PM)? ***
 - Project manager has been validated according to FAC-PMPM or DAWIA criteria as qualified for this investment.
 - Project manager qualifications according to FAC-P/PM or DAWIA criteria is under review for this

investment.

- Project manager assigned to investment, but does not meet requirements according to FAC-P/OM or DAWIA criteria.
- Project manager assigned but qualification status review has not yet started.
- No project manager has yet been assigned to this investment.

12. If this investment is a financial management system, then please fill out the following as reported in the most recent financial systems inventory (FMSI):

Financial management system name(s)	System acronym	Unique Project Identifier (UPI) number
*	*	*

a. If this investment is a financial management system AND the investment is part of the core financial system then select the primary FFMI compliance area that this investment addresses (choose only one): *

- computer system security requirement;
- internal control system requirement;
- core financial system requirement according to FSIO standards;
- Federal accounting standard;
- U.S. Government Standard General Ledger at the Transaction Level;
- this is a core financial system, but does not address a FFMI compliance area;
- Not a core financial system; does not need to comply with FFMI

Section B: Summary of Funding (Budget Authority for Capital Assets)

1.

Table 1: SUMMARY OF FUNDING FOR PROJECT PHASES (REPORTED IN MILLIONS) (Estimates for BY+1 and beyond are for planning purposes only and do not represent budget decisions)									
	PY1 and earlier	PY 2009	CY 2010	BY 2011	BY+1 2012	BY+2 2013	BY+3 2014	BY+4 and beyond	Total
Planning:	*	*	*	*	*	*	*	*	*
Acquisition:	*	*	*	*	*	*	*	*	*
Subtotal Planning & Acquisition:	*	*	*	*	*	*	*	*	*
Operations & Maintenance:	*	*	*	*	*	*	*	*	*
Disposition Costs (optional):	*	*	*	*	*	*	*	*	*
SUBTOTAL:	*	*	*	*	*	*	*	*	*
Government FTE Costs should not be included in the amounts provided above.									
Government FTE Costs	*	*	*	*	*	*	*	*	*
Number of FTE represented by Costs:	*	*	*	*	*	*	*	*	*
TOTAL(including FTE costs)	*	*	*	*	*	*	*	*	*

2. If the summary of funding has changed from the FY 2010 President's Budget request, briefly explain those changes:

*

Section C: Acquisition/Contract Strategy (All Capital Assets)

1.

Table 1: Contracts/Task Orders Table

Contract or Task Order Number	Type of Contract/Task Order (In accordance with FAR Part 16)	Has the contract been awarded (Y/N)	If so what is the date of the award? If not, what is the planned award date?	Start date of Contract/Task Order	End date of Contract/Task Order	Total Value of Contract/Task Order (M)	Is this an Interagency Acquisition? (Y/N)	Is it performance based? (Y/N)	Competitively awarded? (Y/N)	What, if any, alternative financing option is being used? (ESPC, UESC, EUL, N/A)	Is EVM in the contract? (Y/N)
hsss01-06-p-0331	FFP: Firm Fixed Price	Y	2005-10-01	2005-10-01	2006-09-30	\$3.8	*	*	*	*	*
hsss01-07-j-0009	FFP: Firm Fixed Price	Y	2006-10-01	2006-10-01	2007-09-30	\$5.8	*	*	*	*	*
hsss01-08-j-000578	FFP: Firm Fixed Price	Y	2007-10-01	2007-10-01	2008-09-30	\$6.1	*	*	*	*	*
hsss01-09-j-0009	FFP: Firm Fixed Price	Y	2008-10-01	2008-10-01	2009-09-30	\$7.1	*	*	*	*	*
hsss01-10-f-0008	FFP: Firm Fixed Price	Y	2009-10-01	2009-10-01	2010-09-30	\$5.7	*	*	*	*	*

2. If earned value is not required or will not be a contract requirement for any of the contracts or task orders above, explain why:

*

3. Is there an acquisition plan which reflects the requirements of FAR Subpart 7.1 and has been approved in accordance with agency requirements? *

a. If "yes," what is the date? *

Section D: Performance Information (All Capital Assets)

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
2006	Strengthen and Unify DHS Operations and Management	*	*	5 day close	5 day close	5 day close	5 day close has resulted in accurate and timely information for use by managers in making business decisions.
2006	Strengthen and Unify DHS Operations and Management	*	*	increased customer satisfaction due to integration of systems	50% integration	75% integration	75% integration has resulted in increased customer satisfaction due to reduced manual processes, elimination of duplicative processes and faster processing of transactions.
2006	Strengthen and Unify DHS Operations and Management	*	*	improved financial processes due to increased integration of systems	50% integration	75% integration	75% integration has resulted in improved financial processes by reducing duplicative data entry and moving away from paper based systems to electronic.
2006	Strengthen and Unify DHS Operations and Management	*	*	utilization of web based technologies	0% use	80% use of web based technology	80% use of integrated web based technologies has improved the ease with which data entry can be performed resulting in fewer errors and more responsive business processes.
2007	Strengthen and Unify DHS Operations and Management	*	*	5 day close	5 day close	5 day close	the five day close continues to result in accurate and timely information that is used by senior management to make operational

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Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
							decisions.
2007	Strengthen and Unify DHS Operations and Management	*	*	increased customer satisfaction due to integration of systems	75% integration	77% integration	achieved target due to integration of a business process that was previously performed manually.
2007	Strengthen and Unify DHS Operations and Management	*	*	improved financial processes due to integration of systems	75% integration	77% integration	achieved target due to integration which reduced the amount of time for a business process as well as reducing potential for errors.
2007	Strengthen and Unify DHS Operations and Management	*	*	utilization of web based technologies	80% use	82% use	achieved target by implementing a web based tool that makes an accounting process more effective by eliminating a labor intensive process.
2008	Strengthen and Unify DHS Operations and Management	*	*	5 day close	5 day close of the financial books	5 day close of the financial books	the five day close continues to result in timely and useful data that is used by senior management to make operational decisions.
2008	Strengthen and Unify DHS Operations and Management	*	*	customer satisfaction due to integration of systems	customer satisfaction greater than 70 points	customer satisfaction 80 points	achieved target has resulted in customer satisfaction exceeding 80 points. the percentage of highly satisfied customers rose nearly 5 percent.
2008	Strengthen and Unify DHS Operations and Management	*	*	improved financial processes due to integration of systems	financial processes perform within range of 70-80 points	financial processes perform within the range of 81 - 90 points	achieved target, financial processes are performing within the targeted range of greater than 81 points.
2008	Strengthen and Unify DHS Operations and Management	*	*	utilization of web based technologies	use of web technologies have an effectiveness	use of web technologies has an effectiveness	use of web technologies is effective and is within the range

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
					rating of 70-80 points	rating of 81-90 points	of 81 to 90 points.
2009	Strengthen and Unify DHS Operations and Management	*	*	5 day close of financial books	5 day close of the financial books	5 day close of the financial books	the five day close continues to provide management with timely and useful information to make operational decisions.
2009	Strengthen and Unify DHS Operations and Management	*	*	customer satisfaction due to integration	customer satisfaction greater than 70 points	customer satisfaction 80 points	achieved target has resulted in greater customer satisfaction with more highly satisfied customers. customer satisfaction exceeds 80 points.
2009	Strengthen and Unify DHS Operations and Management	*	*	improved financial processes due to integration of systems	financial processes perform within range of 70-80 points	financial processes perform within the range of 81 - 90 points	achieved target, financial processes are performing within the targeted range of greater than 81 points.
2009	Strengthen and Unify DHS Operations and Management	*	*	utilization of web based technologies	use of web technologies have an effectiveness rating of 70-80 points	use of web technologies has an effectiveness rating of 81-90 points	use of web based technologies is effective and is within the range of 81 to 90 points.
2010	Strengthen and Unify DHS Operations and Management	*	*	5 day close	5 day close of the financial books	5 day close of the financial books	future tbd
2010	Strengthen and Unify DHS Operations and Management	*	*	customer satisfaction due to integration of systems	customer satisfaction greater than 70 points	customer satisfaction 80 points	future tbd through the operational assessment
2010	Strengthen and Unify DHS Operations and Management	*	*	improved financial processes due to integration of systems	financial processes perform within range of 70-80 points	financial processes perform within the range of 81 - 90 points	future tbd through the operational assessment
2010	Strengthen and Unify DHS Operations and Management	*	*	utilization of web based technologies	use of web technologies have an effectiveness rating of 70-80 points	use of web technologies has an effectiveness rating of 81-90 points	future tbd through the operational assessment
2011	Strengthen and Unify DHS Operations and Management	*	*	5 day close	5 day close of the financial books	5 day close of the financial books	future tbd through the operational assessment
2011	Strengthen and	*	*	customer	customer	customer	future tbd

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	Unify DHS Operations and Management			satisfaction due to integration of systems	satisfaction greater than 70 points	satisfaction 80 points	through the operational assessment
2011	Strengthen and Unify DHS Operations and Management	*	*	improved financial processes due to integration of systems	financial processes perform within range of 70-80 points	financial processes perform within the range of 81 - 90 points	future tbd through the operational assessment
2011	Strengthen and Unify DHS Operations and Management	*	*	utilization of web based technologies	use of web technologies have an effectiveness rating of 70-80 points	use of web technologies has an effectiveness rating of 81-90 points	future tbd through the operational assessment
2012	Strengthen and Unify DHS Operations and Management	*	*	5 day close	5 day close of the financial books	5 day close of the financial books	future tbd through the operational assessment
2012	Strengthen and Unify DHS Operations and Management	*	*	customer satisfaction due to integration of systems	customer satisfaction greater than 70 points	customer satisfaction 80 points	future tbd through the operational assessment
2012	Strengthen and Unify DHS Operations and Management	*	*	improved financial processes due to integration of systems	financial processes perform within range of 70-80 points	financial processes perform within the range of 81 - 90 points	future tbd through the operational assessment
2012	Strengthen and Unify DHS Operations and Management	*	*	utilization of web based technologies	use of web technologies have an effectiveness rating of 70-80 points	use of web technologies has an effectiveness rating of 81-90 points	future tbd through the operational assessment
2013	Strengthen and Unify DHS Operations and Management	*	*	5 day close	5 day close of the financial books	5 day close of the financial books	future tbd through the operational assessment
2013	Strengthen and Unify DHS Operations and Management	*	*	customer satisfaction due to integration of systems	customer satisfaction greater than 70 points	customer satisfaction 80 points	future tbd through the operational assessment
2013	Strengthen and Unify DHS Operations and Management	*	*	improved financial processes due to integration of systems	financial processes perform within range of 70-80 points	financial processes perform within the range of 81 - 90 points	future tbd through the operational assessment
2013	Strengthen and Unify DHS Operations and Management	*	*	utilization of web based technologies	use of web technologies have an effectiveness rating of 70-80 points	use of web technologies has an effectiveness rating of 81-90 points	future tbd through the operational assessment
2014	Strengthen and Unify DHS Operations and Management	*	*	5 day close	5 day close of the financial books	5 day close of the financial books	future tbd through the operational assessment
2014	Strengthen and Unify DHS Operations and Management	*	*	customer satisfaction due to integration of systems	customer satisfaction greater than 70 points	customer satisfaction 80 points	future tbd through the operational assessment
2014	Strengthen and	*	*	improved	financial	financial	future tbd

Table 1: Performance Information Table

Fiscal Year	Strategic Goal(s) Supported	Measurement Area	Measurement Grouping	Measurement Indicator	Baseline	Target	Actual Results
	Unify DHS Operations and Management			financial processes due to integration of systems	processes perform within range of 70-80 points	processes perform within the range of 81 - 90 points	through the operational assessment
2014	Strengthen and Unify DHS Operations and Management	*	*	utilization of web based technologies	use of web technologies have an effectiveness rating of 70-80 points	use of web technologies has an effectiveness rating of 81-90 points	future tbd through the operational assessment

Part III: For "Operation and Maintenance" investments ONLY (Steady State)

Section A: Cost and Schedule Performance (All Capital Assets)

1. Comparison of Actual Work Completed and Actual Costs to Current Approved Baseline								
Description of Milestones	Planned Cost (\$M)	Actual Cost (\$M)	Planned Start Date	Actual Start Date	Planned Completion Date	Actual Completion Date	Planned Percent Complete	Actual Percent Complete
Operations and Maintenance FY08	\$6.1	\$6.1	2007-10-01	2007-10-01	2008-09-30	2008-09-30	100.00%	100.00%
Operations and Maintenance FY07	\$5.3	\$5.3	2006-10-01	2006-10-01	2007-09-30	2007-09-30	100.00%	100.00%
Operations and Maintenance FY06	\$3.8	\$3.8	2005-10-01	2005-10-01	2006-09-30	2006-09-30	100.00%	100.00%
Operations and Maintenance FY09	\$7.1	\$7.1	2008-10-01	2008-10-01	2009-09-30	2009-09-30	100.00%	100.00%
Operations and Maintenance FY05	\$4.3	\$4.3	2004-10-01	2004-10-01	2005-09-30	2005-09-30	100.00%	100.00%
Planning and Acquisition	\$9.7	\$9.7	2001-10-01	2001-10-01	2004-09-30	2004-09-30	100.00%	100.00%
Operations and Maintenance FY11	*	*	2010-10-01		2011-09-30		0.00%	0.00%
Operations and Maintenance FY10	\$5.7	\$4.8	2009-10-01	2009-10-01	2010-09-30		90.00%	90.00%
Operations and Maintenance FY12	*	*	2011-10-01		2012-09-30		0.00%	0.00%
Operations and Maintenance FY13	*	*	2012-10-01		2013-09-30		0.00%	0.00%
Operations and Maintenance FY14	*	*	2013-10-01		2014-09-30		0.00%	0.00%
Operations and Maintenance FY15	*	*	2014-10-01		2015-09-30		0.00%	0.00%

* - Indicates data is redacted.